



June 1, 2010

TO: CALIFORNIA PROBATION DEPARTMENTS

RE: REQUEST FOR PROPOSALS – PROBATION SPECIALIZED SUPERVISION PROGRAM

The California Emergency Management Agency (Cal EMA), Children's Section, is pleased to release this Request for Proposal (RFP) for the Probation Specialized Supervision Program for the period beginning October 1, 2010 through September 30, 2011; this is a three year funded program. Initial and continuation funding for October through September of each year is contingent on passage of the State Budget Act, availability of the Violence Against Women Act federal funds, and compliance with the grant award agreement. Continuation funding for the second and third year is non-competitive and will be done via a Request for Application.

The purpose of the Probation Specialized Supervision Program is to enhance or create specialized units within probation departments in California to intensively supervise small caseloads of offenders of violent crimes including domestic violence, sexual assault, dating violence, and stalking.

Approximately \$593,854 is available for each year of the three year funding cycle. Funding for the program is via the Violence Against Women Act Services*Training*Officers*Prosecutors funds. Cal EMA anticipates funding approximately six (6) projects ranging from approximately \$80,000 to \$100,000 each and based on service area population. The program has a twenty-five percent (25%) match requirement.

The proposal is due to Cal EMA on **Thursday, July 15, 2010**. Please see Part 1 of the RFP for proposal due date and submission options.

To download the RFP Probation Specialized Supervision Program, go to the Cal EMA's website (www.calema.ca.gov), scroll over "Grant Programs" on the bar at the top of the homepage, select "Grant Application Proposals," click on "Request for Proposal (RFP) Funding Information," and then select "Probation Specialized Supervision Program."

Should you have questions, please contact Dennis Hall, Cal EMA's Program Specialist via email at: Dennis.Hall@calema.ca.gov; you may also contact his supervisor, Gillsa Heredia Miller, Chief, Children's Section via telephone at: (916) 322-1902, or by email at: gillsa.miller@calema.ca.gov.

Sincerely,

Brendan A. Murphy
Director of Grants Management

3650 SCHRIEVER AVENUE • MATHER, CA 95655
VICTIM SERVICES BRANCH
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PROBATION SPECIALIZED SUPERVISION PROGRAM

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PROBATION SPECIALIZED SUPERVISION PROGRAM

PART I – OVERVIEW

- A. INTRODUCTION
 - B. CONTACT INFORMATION
 - C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS
 - D. ELIGIBILITY
 - E. FUNDS
 - F. PROGRAM INFORMATION
-

A. INTRODUCTION

This Request for Proposal (RFP) provides the information and forms necessary to prepare a proposal for California Emergency Management Agency (Cal EMA) grant funds. The terms and conditions described in this RFP supersede previous RFPs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under “Quick links” for the *Criminal Justice Programs Recipient Handbook* or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for *Recipient Handbooks*.

B. CONTACT INFORMATION

Questions concerning this RFP, the proposal process, or other technical issues must be submitted only by e-mail or fax to:

Dennis Hall, Program Specialist
California Emergency management Agency,
Children’s Section
916-323-1569
916-327-5674 Fax
Dennis.Hall@CalEMA.ca.gov

Cal EMA staff cannot assist the applicant with the actual preparation of this proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, Cal EMA staff can only respond to technical questions about the RFP.

C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS

One original and three copies of the proposal must be delivered to Cal EMA’s Victim Services Branch, Children’s Section, by the date and time indicated below. ***A late proposal will be deemed ineligible for funding.*** Submission options are:

Regular or overnight mail, postmarked by **July 15, 2010** OR Hand delivered by **5:00 p.m. on July 15, 2010** to:

California Emergency Management Agency
Victim Services Branch – Children’s Section
3650 Schriever Avenue
Mather, CA 95655
Attn: Probation Specialized Supervision Program, Dennis Hall, Program Specialist

D. ELIGIBILITY

Applicants must be a county probation department in order to receive funding under the Probation Specialized Supervision Program.

E. FUNDS**1. Source of Funds**

The federal Violence Against Women Act (VAWA) Services*Training*Officers*Prosecutors (S*T*O*P) Formula Grant supports the Probation Specialized Supervision Program.

2. Grant Period

Cal EMA will fund selected applicants for a three-year period; the first year will commence on October 1, 2010 and end on September 30, 2011. Initial and continuation funding for October through September of each year is contingent on passage of the State Budget Act, availability of the VAWA funds, and compliance with the grant award agreement. Continuation funding for the second and third year is non-competitive and will be done via a Request for Application.

3. Funding Amount and Match

Approximately \$593,854 is available for this program. Cal EMA will determine an applicant's funding amount by the population of the proposed service area (see table below). These amounts are approximates, but should be used for the completion of this proposal. Cal EMA intends to fund at least one project from each service area population group. The applicant must receive at least sixty percent (60%) of the Total Points Possible not including the Preferred Points Certification points (see enclosed Rating Form – pages 25-27) in order to be considered for funding (Total Points Possible = 470; 60% of 470 is 282 points). However, if Cal EMA receives only one application from one of the Service Area Population categories listed below and such applicant receives less than 282 points, Cal EMA has the discretion to fund the applicant because it is Cal EMA's intention to fund, at least, one applicant from each of the three Service Area Population categories. A twenty-five percent (25%) match, based on the total project cost, is required for this program. Matching funds (cash or in-kind) are restricted to the same uses as VAWA S*T*O*P grant funds. Match must be from a non-federal source.

Service Area Population	VAWA Funds	Match	Total Funds
200,000 and above	\$100,000	\$33,333	\$133,333
75,000 to 199,999	\$90,000	\$30,000	\$120,000
74,999 and below	\$80,000	\$26,667	\$106,667

F. PROGRAM INFORMATION**1. Program Purpose/Description**

The purpose of the Probation Specialized Supervision Program is to enhance or create specialized units within probation departments in California to intensively supervise small caseloads of probationers of crimes involving domestic violence, sexual assault, dating violence, and stalking. Please note: the California VAWA Implementation Committee, which advises Cal EMA on VAWA funded programs, recommended for this program a higher emphasis on domestic violence crimes.

The Probation Specialized Supervision Program requires probation officers to be specially trained, carry reduced caseloads, develop and maintain both a specialized unit protocol and victim resource and referral list, and utilize a variety of intensive supervision techniques.

2. Program Components

The Probation Specialized Supervision Program units will accept new probationers into the unit in the following order of priority:

- a) probationers convicted of a violent felony crime;
- b) probationers convicted of a violent misdemeanor crime when the case was originally filed as a felony; and
- c) probationers convicted of a misdemeanor crime where there is an established pattern of crime related to domestic violence, sexual assault, dating violence, and stalking.

3. Required Supervision Techniques

Probation Specialized Supervision Program units must utilize the following probation supervision techniques as well as other techniques deemed appropriate:

- a) make weekly contacts with probationers in person or by telephone with:
 - 1) a minimum of 30% being face-to-face contacts in the field;
 - 2) a minimum of 30% being face-to-face contacts in the office; and,
 - 3) a maximum of 20% being phone contacts.
- b) have monthly contacts with staff of the counseling/treatment program where the probationer is enrolled to determine the probationer's progress;
- c) develop risk assessments and update these every six months to determine if the probationer's risk factor changed (positively or negatively), and to determine if the probationer can be moved to a less intensive caseload;
- d) conduct regular checks of police logs to review if probationer is on such list;
- e) conduct periodic drug and alcohol testing of probationer;
- f) utilize alternative work schedules for probation officers to allow for evening and weekend field visits with probationer;
- g) conduct periodic court reviews of probationer's file;
- h) attempt to contact victims at a minimum on a monthly basis at the beginning of the offender's probation (or initial intake of offender in the unit) and during the term of probation. The probation officer must make every effort to locate the victim and document attempts to locate the victim. If the victim can be located, the assigned probation officer must:
 - 1) attempt face-to-face or phone contact with the victim (face-to-face contact is preferable in the victim's home environment);
 - 2) discuss terms and conditions of offender's probation, including the role of the probation officer, and provide examples of behavior considered to be a violation of probation;
 - 3) refer victims to appropriate services;

- 4) attempt to inform the victim of when the offender's probation is terminated; and,
 - 5) maintain a log of attempts to contact victim(s) in the probationer's file to include method of attempt; the logs must be accessible upon request for Cal EMA's staff to review;
- i) request appropriate sanctions if the probationer:
- 1) commits a new abuse or a violation of contact order;
 - 2) violates substance abuse order;
 - 3) fails to participate in designated counseling and/or treatment program; or,
 - 4) commits a new criminal offense.

4. Minimum Qualifications for Officers

Probation officer(s) assigned to the Probation Specialized Supervision Program's unit must meet the following minimum qualifications:

- a) have at least one-year experience as a probation officer supervising violent probationers, must complete a minimum of 12 hours of training annually specific to domestic violence, sexual assault, dating violence, and stalking. The agency must send at least one probation officer of the program to training specific to probation officers; Cal EMA will determine what entity will provide the training.

5. Reduced Caseload

Probation officer(s) assigned to the Probation Specialized Supervision Program's unit must have a reduced caseload. The caseload must not exceed 40 cases per full-time probation officer with no more than 20% inactive. Inactive cases include:

- a) cases where the probationer is in custody for a period longer than 30 days, and remains assigned to the unit; or,
- b) cases where the probationer has fled, has not been in contact for 30 days, and remains assigned to the unit.

6. Required Activities

The Probation Specialized Supervision Program's units must develop and/or maintain the following:

- a) a Specialized Unit Protocol. The protocol must be created within three months of the start of the grant period and submitted to Cal EMA's Program Specialist for review and approval. In turn, Cal EMA must submit the protocol to the Federal Office of Violence Against Women for its review and approval prior to it being used;
- b) a Resource and Referral List of victim services to be provided to victims and available for Cal EMA's staff for review; and
- c) Victim Contact Logs which must be completed and retained for Cal EMA's review either in hard document or computer generated in the probationer's file. Logs must include the following:
 - 1) victim's name and contact information;
 - 2) date, time, and method (phone, letter, in-person contact) of all attempted contacts;
 - 3) brief description of successful contacts; and,
 - 4) assistance provided to the victim (referrals, information, etc.).

PROBATION SPECIALIZED SUPERVISION PROGRAM

PART II – RFP INSTRUCTIONS

- A. PREPARING A PROPOSAL
 - B. PROJECT NARRATIVE
 - C. PROJECT BUDGET
 - D. PROPOSAL APPENDIX
 - E. PREFERENCE POINTS CERTIFICATION
-

A. PREPARING A PROPOSAL

The instructions in this section correspond to each of the proposal components and to the forms required to complete the proposal.

The applicant must use the forms provided in Part IV of this RFP or on our website at www.CalEMA.ca.gov. The forms must be printed on plain white 8½" x 11" paper for the proposal. The Project and Budget Narrative templates provided on the website are formatted to Cal EMA standards. If you create your own Project and/or Budget Narrative forms, the format must duplicate the Cal EMA templates and not allow for more space than provided by Cal EMA. If a space limitation is specified for a component, strict adherence to the space limitation is required.

NOTE: Failure to comply with the spacing/formatting requirements is one of the factors that may negatively impact the applicant's comprehensive assessment score.

Cal EMA requires the following ten (10) components for a complete proposal:

- Proposal Cover Sheet (included in Part IV);
- Grant Award Face Sheet (Cal EMA 2-101) (List **VAWA 2010** funds in Federal column);
- Project Contact Information (Cal EMA 2-102);
- Signature Authorization and Instructions (Cal EMA 2-103);
- Certification of Assurance of Compliance – VAWA (Cal EMA 2-104g);
- Preference Points Certification Form (Cal EMA 2-155);
- Project Narrative (Cal EMA 2-108);
- Project Budget (Including the Budget Narrative (Cal EMA 2-107) and the Budget Forms (Cal EMA 2-106 a-c); and,
- Proposal Appendix (refer to Part II, D).

NOTE: The applicant must ensure information requested by the RFP is included in the appropriate section of the proposal in order to receive credit. **Failure to include the required components may result in a reduced score or disqualification. Cal EMA will *not* advise the applicant if the proposal is incorrect and/or incomplete prior to rating or disqualification.**

Copies of the proposal must be assembled separately and individually fastened in the upper left corner.
Do not bind the proposal.

B. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the proposed plan.

1. Problem Statement (maximum of two pages)

Provide a description of the service area population to be served including size of the population and social factors. Clearly identify the applicant will highly focus on supervising probationers convicted of domestic violence, sexual assault, dating violence, and stalking crimes. Please address how applicant will implement the recommendation of the California VAWA Implementation Committee which advises Cal EMA on VAWA funded programs, recommending for this program a higher emphasis on domestic violence crimes. Using statistical information, describe the incidents of domestic violence, sexual assault, dating violence, and stalking crimes. Describe the current effort to supervise probationers of these stated crimes. Describe the weaknesses in the current resources in combating the problem.

2. Plan and Implementation (maximum seven pages)

- a. Plan (maximum five pages): Describe the training and minimum qualifications of proposed staff. Describe what the applicant would consider "serious violent crimes" as it pertains to the crimes to be addressed. Describe the criteria for cases to be assigned to the unit.

1) Mandatory Objectives:

- a) During the grant period, provide intensive probation services to # ____ probationers convicted of domestic violence, sexual assault, dating violence, and stalking crimes. In a narrative form, detail how this objective will be met.
- b) During the grant period, complete weekly contacts with active probationers at a minimum one contact per week.
 - **Service Goal** – Number of field contacts with probationers: ____
 - **Service Goal** – Number of in-person office contacts with probationers: ____
 - **Service Goal** – Number of telephone contacts with probationers: ____
 - **Service Goal** – Total number of contacts with probationers: ____

In a narrative form, attest the maximum caseload must not exceed 40 cases per full-time probation officer.

- c) Service Goal – Average number of probationers during the reporting period: ____

Please note: the probation department determines unit caseloads by establishing the number of cases carried by a full-time probation officer on the last day of a reporting period. This number should be compared to the average of non-specialized unit probation officers on the last day of a reporting period.

During the grant period, an attempt to contact victims must be initiated. In a narrative form, detail how this objective will be met.

- **Service Goal** – Number of field contacts made with the victims: _____
- **Service Goal** – Number of in-person-office contacts made with victims: _____
- **Service Goal** – Number of telephone contacts made with the victims: _____
- **Service Goal** – Total number of contacts with victims: _____

In a narrative form, detail how this objective will be met.

- d) During the grant period, recidivism must be reported if applicable; how many probationers reoffended of the caseload assigned to the Probation Specialized Supervision Program's unit. Report by category:

- **Service Goal** – Number of domestic violence probationers reoffended: _____
- **Service Goal** – Number of sexual assault probationers reoffended: _____
- **Service Goal** – Number of dating violence probationers reoffended: _____
- **Service Goal** – Number of stalking probationers reoffended: _____

In a narrative form, detail how this objective will be met.

- e) During the grant period, the recipient will utilize the automated Firearms System (AFS) to search _____ (estimate number) project-specific probationers to identify those probationers possessing firearms. In a narrative form, detail how this objective will be met.
- f) During the grant period, when a project-specific probationer is known to be in possession of a firearm, the assigned probation officer will facilitate the removal of the firearm from probationer and inform the probationer as to the prohibition to acquire or possess a firearm. In a narrative form, detail how this objective will be met.
- g) During the grant period, the probation officer(s) will contact all probationers in his/hers caseload individually and in person, or by telephone, or mail to ensure each probationer understands provisions of the firearm's prohibitions. In a narrative form, detail how this objective will be met.
- h) During the grant period, the recipient will distribute educational materials on firearm prohibition and confiscation laws to at a minimum: probationers, firearm dealers, law enforcement, the courts, community-based victim advocates, and victims of domestic violence. In a narrative form, detail how this objective will be met.
- i) During the first year/initial year of the program, the recipient may budget, using VAWA funding or match, for travel and per diem expenses to attend a mandatory Cal EMA Project Director's Meeting to be held in Sacramento or another area; at least one project funded person must attend. During the two subsequent years such meeting will not take place; therefore, recipient will not need to budget for these expenses.
- j) During the grant period, the recipient will send one or more probation officers assigned to the project for training; Cal EMA will determine what entity will provide the training. In a narrative form, detail how this objective will be met.

- b. Implementation (maximum 2 pages): Describe the applicant's ability to implement and administer the program; the relationships between law enforcement agencies and local victim service agencies; ability to implement the required policies; how the average monthly caseload was determined for non-unit probation officers and how the reduction was decided; and how unit staff will be selected and rotated in and out of the unit.

- c. Appendix: The Appendix must contain:

A list of Operational Agreements (OAs) such as referring law enforcement agencies, the local victim/witness assistance program, and victim service programs in the service area. The actual OAs do not need to be submitted with the application; however, these must be available for review by Cal EMA's staff upon request.

C. PROJECT BUDGET

The purpose of the budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, applicants should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to Cal EMA modifications and approval.

Cal EMA requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program and ensure the successful and cost effective implementation of the project. The applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures which detract from the accomplishment of the objectives and activities of the project.

Note: The following information is provided to assist in the preparation of the budget:

- Strict adherence to required and prohibited items is expected.
- Where the applicant does not budget for a required item, the applicant assumes responsibility.
- Failure of the applicant to include required budget items does not eliminate responsibility to comply with those requirements during the implementation of the project.

The applicant should refer to the *Recipient Handbook* for additional information concerning Cal EMA budget policy or to determine if specific proposed expenses are allowable. The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under "Quick links" for the *Criminal Justice Programs Recipient Handbook* or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for *Recipient Handbooks*. Should you have additional budget questions, contact the person listed in Part I, B.

Match Requirement

The federal funding source requires a twenty-five percent (25%) match based on the Total Project Cost formula. The match may be either cash or in-kind contributions of services or goods. Matching funds (cash or in-kind) are restricted to the same uses as VAWA S*T*O*P grant funds. Federal monies must not be used to meet the VAWA S*T*O*P match requirement for the program. Match specified in the budget will become part of the grant award. The budget pages

must clearly identify line-items designated as match. **Federal monies cannot not be used to meet VAWA S*T*O*P match requirement for this grant.**

1. Budget Narrative (maximum two pages)

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the proposal preceding the budget pages, describing:

- how the project's proposed budget supports the Program's objectives and activities;
- how funds are allocated to minimize administrative costs and support direct services;
- the duties of project-funded staff, including qualifications or education level necessary for the job assignment (this does not take the place of the brief justification required in the line item budget);
- how project-funded staff duties and time commitments support the proposed objectives and activities;
- proposed staff commitment/percentage of time to other efforts, in addition to time allocated to this project;
- the necessity for subcontracts and unusual expenditures; and
- the mid-year salary range adjustments.

2. Specific Budget Categories

In Part IV of this RFP, or on Cal EMA's website, access Excel spreadsheets for each of the following three budget categories:

a. Personal Services – Salaries/Employee Benefits (Cal EMA 2-106a)

1) Salaries

Personal services include services performed by project staff directly employed by the applicant and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be budgeted as a part of salaries. If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, C.2.b. - Operating Expenses - paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries funded by VAWA. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses (Cal EMA 2-106b)

Operating expenses are defined as necessary expenditures other than personal salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (i.e., to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5,000 (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs. Please note: while the *Recipient Handbook* Sections 3710 and other pertinent sections sets the maximum rate for independent contractors, the Federal Office on Violence Against Women's (OVW) guidelines indicate consultant rates cannot exceed \$450 per day. Therefore OVW's guidelines supersede those of the *Recipient Handbook*. These expenses must be shown under the Operating Expenses category and supported by a contract, which must be kept on file by the recipient and made available for review during a Cal EMA site visit, a monitoring visit, or an audit. In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.

Budget for travel and per diem for a training related to sending probation officers assigned to the program to training; Cal EMA will determine what entity will provide the training – training location may be in Sacramento or another area; however, the entity's staff may be coming directly to applicant's agency. Budget for travel and per diem for at least one staff a mandatory Cal EMA's Project Director's Meeting in Sacramento.

Due to limited funding, probation monitoring devices such as ankle bracelets with Global Positioning System (GPS) technology must be funded with applicant's own funds. However, this program **does not mandate for these types of devices to be used.**

c. Equipment (Cal EMA 2-106c)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

NOTE: The left column of each budget category on the Spreadsheet requires line item detail including the calculation and justification for the expense. Enter the **whole dollar amount only** (no cents) on each line item and the match amount (if applicable) in the correct column of the Budget Category form. You may add extra rows if necessary. The spreadsheets automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at

the bottom of the Equipment page. The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

D. PROPOSAL APPENDIX

The proposal appendix provides Cal EMA with additional information from the applicant to support components of the proposal. The following must be included:

- **Organizational Chart:**
The Organizational Chart should clearly depict the structure of the applicant organization and the specific unit within the organization responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those in the Budget and Budget Narrative.
- **[Operational Agreement \(OA\):](#)**
OAs must contain original signatures, titles, and agency names for both parties and include dates effective for the proposed grant period. These documents must demonstrate a formal system of networking and coordination with other agencies and the applicant. A sample OA can be accessed by selecting the title above.
- Project Summary (Cal EMA 2-150)
- Noncompetitive Bid Request (Cal EMA 2-156)
- Out of State Travel Request (Cal EMA 2-158)
- Other Funding Sources (Cal EMA 2-151)
- Prior, Current, and Proposed Cal EMA Funding (Cal EMA 2-152)
- Project Service Area Information (Cal EMA 2-154)
- Computer and Automated Systems Purchase Justification Guidelines (Cal EMA 2-157)

E. PREFERENCE POINTS CERTIFICATION

California Government Code Section 7082 requires Cal EMA to give preference to applicants from areas in the state designated as Enterprise Zones. The goal of the Enterprise Zone Program is to stimulate growth in economically distressed areas. Five percent (5%) of the proposal's total score will be added to the proposal for the applicant specifically targeting a designated Enterprise Zone for services. Two percent (2%) of the applicant's total score will be added to the proposal for the applicant whose service area includes an Enterprise Zone, but does not specifically target the area for services.

Complete information concerning the Enterprise Zone Program is available on the Housing and Community Development, Division of Financial Assistance web page at <http://www.hcd.ca.gov/fa/cdbg/ez/>. If the applicant is eligible for preference points, certification of eligibility by the appropriate agency must be provided. Self-certification is not allowed.

PROBATION SPECIALIZED SUPERVISION PROGRAM

PART III – POLICIES AND PROCEDURES

NOTE: The applicant is strongly encouraged to review the following sections before preparing the proposal.

- A. SELECTION OF PROPOSAL FOR FUNDING
 - B. FINALIZING THE GRANT AWARD AGREEMENT
 - C. ADMINISTRATIVE REQUIREMENTS
 - D. BUDGET POLICY
-

A. SELECTION OF PROPOSAL FOR FUNDING

1. Proposal Rating

Generally, a three-member team reads and rates eligible proposals received by the deadline. The rater scores are averaged and then ranked numerically. The Rating Form used for this process is included in Part IV of this RFP and is for informational purposes only.

2. Funding Recommendation

The Secretary of Cal EMA makes final funding decisions. Cal EMA makes funding recommendations based on the following:

- the ranked score of the proposal;
- consideration of funding priorities or geographical distribution specific to this RFP; and
- prior negative administrative and programmatic performance, if applicable.

Projects previously funded by Cal EMA will be reviewed for poor past compliance, including fiscal management, progress and annual reports, audit reports, and other relevant documentation or information. This review may result in one or more of the following actions:

- a. the project may not be selected for funding;
- b. the amount of funding may be reduced; or
- c. grant award conditions may be placed in the Grant Award Agreement.

See Part IV for additional information regarding the Past Performance Policy.

3. Notification Process

Applicants will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a denial letter containing their average score and information on the appeal process.

B. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. Cal EMA does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and

may be disallowed. When the executed grant is received, and the State Budget is finalized, authorized expenditure reports may be submitted for reimbursement of expenditures incurred subsequent to the effective date of the grant award agreement.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, Cal EMA may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

Cal EMA Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Processing Grant Awards

a. Grant Award Conditions

Cal EMA may add grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the applicant and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by Cal EMA.

b. Grant Award Agreement

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The applicant is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received a Report of Expenditures and Request for Funds (Cal EMA 2-201) may be submitted for reimbursement.

c. Grant Award Amounts

When the amount of funds available is limited, Cal EMA may reduce the amount of the grant award from the amount requested by the applicant. In addition, Cal EMA reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, Cal EMA will notify the applicant prior to executing the Grant Award Agreement.

C. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding and are explained below for the recipient's planning purposes.

1. The *Recipient Handbook (RH)*

The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under 'Quick links' for the Criminal Justice Programs Recipient Handbook or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "*Recipient Handbooks*". The *Recipient Handbook* contains administrative information and requirements necessary to implement

the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

2. Internet Access (*RH 11500*)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the RFP instructions.

3. Progress Reports and Data Collection (*RH 10100*)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, Cal EMA will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures/Request for Funds (*RH 6300*)

Community-based organizations (CBOs) shall submit a monthly Report of Expenditures and Request for Funds (Cal EMA 2-201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form Cal EMA 2-201 will result in the withholding of funds and may result in the recommendation to Cal EMA's Executive Secretary for termination of the grant award.

5. Technical Assistance/Site Visits (*RH 10300*)

Funded projects are assigned a Cal EMA program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the recipient in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring Requirements (*RH 10400*)

A monitoring visit is an onsite assessment by staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the Recipient Handbook. Projects will be monitored on a random or as-needed basis.

7. Audit Requirements (*RH 8100*)

To safeguard Cal EMA assets and to ensure that all funds are accounted for, Cal EMA requires that organizations receiving a Cal EMA grant award(s) be audited in accordance with Recipient Handbook section 8100.

8. Source Documentation (RH 10111)

Recipients will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFP instructions. Recipients will be required to have written job descriptions on file for positions funded by Cal EMA detailing specific grant-related activities to achieve project objectives.

9. Bonding Requirements (RH 2160)

Private community-based organizations and American Indian organizations are required to obtain and send to Cal EMA a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of Cal EMA-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, California Emergency Management Agency" and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and total time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

10. Copyrights, Rights in Data, and Patents (RH 5300-5400)

Cal EMA owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the Recipient Handbook.

D. BUDGET POLICY

This document summarizes information on Cal EMA Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under 'Quick links' for the Criminal Justice Programs Recipient Handbook. or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "*Recipient Handbooks*."

1. Supplanting Prohibited (RH 1330)

Grant funds must be used to supplement existing funds for program activities and *not replace* funds appropriated for the same purpose. If selected for funding, a written certification must be provided to Cal EMA indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1330 of the *Recipient Handbook*.

2. Project Income (*RH 6610*)

Project income, such as client fees and fees for services provided by the recipient (e.g. Global Positioning System (GPS) anklet monitors, training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

3. Methods of Contracting and/or Procurement (*RH 3400*)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by Cal EMA program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000 which requires prior Cal EMA approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a narrative describing the competitive bid process or a sole-source procurement (noncompetitive bid) request will be required. Cal EMA will provide assistance in submitting a noncompetitive bid request if the proposal is selected for funding and if Cal EMA determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. Match Requirements (*RH 6500*)

The RFP Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses or Equipment are considered match if not in violation of the prohibition on supplanting. Match must be specified in the budget and will become part of the Grant Award Agreement. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in Sections 6550-6550.2 of the *Recipient Handbook*.

a. State Funds Matching State or Federal Funds (*RH 6522*)

State and/or federal funds can be used to match other state and/or federal funds *only* if the following conditions have been met:

- 1) the other funding source does not prohibit this practice;
- 2) the funds are to be used for identical activities (e.g., to augment the project); and
- 3) the project has obtained prior written approval from Cal EMA or the terms of the program allow this practice.

b. Type of Match

1) Cash Match (*RH 6511*)

Cash match, also known as hard match, is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities and supplies may be considered cash match if not in violation of the prohibition on

supplanting. A cash match must be specifically identified by line item as match in the budget.

2) In-Kind Match (*RH 6512*)

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them, and are also budgeted. In-kind contributions represent the project's non-cash outlay, including the non-cash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value, which must be separately identified in the budget.

5. Travel Policies (*RH 2236*)

The following is Cal EMA's current travel policy:

a. Travel and Per Diem (*RH 2236*)

The applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBOs)

A community-based organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel and Per Diem Policy (*RH 2236.2*)

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for Cal EMA approval.

2) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

The maximum is \$40.00 for a 24-hour period.

3) Lodging

The maximum allowed lodging expense is \$84.00, plus applicable taxes, (except as noted below). Lodging receipts are required for reimbursement.

4) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110.00, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140.00, plus applicable taxes.

5) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 50 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

6) Other

Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. Participating Staff (*RH 4500*)

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of a project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the Operating Expenses category of the grant budget.

7. Independent Contractor/Consultant Services (*RH 3710*)

Consultant services are provided on a contractual basis by individuals or organizations not directly employed by the applicant. Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency

a. Rates (*3710.1*)

The maximum rate for independent contractors is \$250.00 per hour (excluding travel and subsistence costs). Compensation over \$250.00 per hour requires additional justification and **prior approval** from Cal EMA.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government will not provide its services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (*RH 3710.2*)

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for such witness fees is \$250.00 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- qualifications, training, and experience of the expert(s), including a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT); Medical Doctor (MD)];
- rate of pay per hour including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation); and
- justification why this cost cannot be paid with other funds [attach the justification to Cal EMA 2-106 (formerly OES A303b)].

8. Facility Rental (*RH 2232*)

Up to \$21.00 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.

a. Rental Space for Training and Counseling Rooms (*RH 2232.1*)

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the charge is based on actual costs and not reimbursed by another source.

9. Rented or Leased Equipment (*RH 2233*)

An explanation and cost analysis is required when equipment is rented or leased. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by Cal EMA prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (*RH 2220*)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by applicant for indirect costs if allowable by the funding source.

11. Audits (*RH 8150*)

Recipients expending between \$25,000 and \$499,999 in federal or state funds annually cannot use federal funds to reimburse for costs associated with audits. Recipients expending \$500,000 or more in federal grant funds annually are required to secure an audit pursuant to OMB Circular A-133 and are allowed to utilize federal grant funds to budget for the audit costs.

Specifically, the allowable audit costs are as follows:

- if the total project cost is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total project cost is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total grant for financial audit costs.

12. Equipment (*RH 2300*)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the recipient for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by Cal EMA is required.

b. Computers and Automated Equipment (*RH 2340*)

1) Community-Based Organizations (*RH 2342.1*)

Community-based organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Prior approval by Cal EMA is required.

2) Units of Government (*RH 2342.2*)

Units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Cal EMA must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification (*RH 2341*)

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the applicant will be sent instructions for preparing the justification.

c. Automobiles (*RH 2331*)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobile usage during work hours. A cost analysis for automobile purchase, as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by Cal EMA program staff during a site visit, monitoring visit, and/or audit.

13. Prohibited Expense Items (*RH 2240*)

a. Bonuses and Commissions (*RH 2241*)

Projects are prohibited from paying any bonus or commission to any individual, organization or firm unless specifically authorized by the terms of the program

b. Lobbying (*RH 2242*)

Refer to *RH 2242.1* for an extensive list of prohibited activities.

c. Fundraising (*RH 2243*)

Cal EMA grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d. Real Property and Improvements (*RH 2244*)

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFP instructions.

e. Interest (*RH 2245*)

The cost of interest payments is not an allowable expenditure, unless the cost is a result of a lease/purchase agreement.

f. Charges, Fees, and Penalties (*RH 2245*)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

g. Food and Beverages (*RH 2246*)

The cost of food and/or beverages at grant-sponsored conferences, meetings or office functions is not an allowable expenditure.

h. Weapons and Ammunition (*RH 2247*)

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

i. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

j. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

k. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized by the RFP instructions.

l. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.

PROBATION SPECIALIZED SUPERVISION PROGRAM

PROPOSAL FORMS

Click on one of the links below to access the corresponding form. Save the form to your hard drive before filling it out. To access the complete list of forms go to www.CalEMA.ca.gov, scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” then look under the “Related Links” section for “Forms”. Or, paste the following link into your browser:

[http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)&Div=Law+Enforcement+and+Victim+Services+\(LEVS\)&Branch=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)Forms](http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)&Div=Law+Enforcement+and+Victim+Services+(LEVS)&Branch=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)Forms)

[Checklist](#)

[Coversheet](#)

[Grant Award Face Sheet and Instructions \(Cal EMA 2-101\)](#)

[Project Contact Instructions and Information \(Cal EMA 2-102\)](#)

[Signature Authorization and Instructions \(Cal EMA 2-103\)](#)

[Certification of Assurance of Compliance – VAWA \(Cal EMA 2-104g\)](#)

[Application Budget – Budget Narrative \(Cal EMA 2-107\)](#)

[Budget Forms \(Excel spreadsheet format\) – 2-106c. With 25% Match](#)

[Project Narrative \(Cal EMA 2-108\)](#)

[Project Summary \(Cal EMA 2-150\)](#)

[Sample Operational Agreement \(Cal EMA 2-161\)](#)

[Chat Operational Agreement \(Cal EMA 2-162\)](#)

[Noncompetitive Bid Request Checklist \(Cal EMA 2-156\)](#)

[Out-Of-State Travel Request \(Cal EMA 2-158\)](#)

[Other Funding Sources \(Cal EMA 2-151\)](#)

[Prior, Current, and Proposed Cal EMA Funding \(Cal EMA 2-152\)](#)

[Project Service Area Information \(Cal EMA 2-154\)](#)

[Computer and Automated Systems Purchase Justification \(Cal EMA 2-157\)](#)

[Preference Points Certification \(Cal EMA 2-155\)](#)

[California Map \(Cal EMA 2-316\)](#)

PROBATION SPECIALIZED SUPERVISION PROGRAM

RATING FORM

Control #: _____
 Rater #: _____

Applicant: _____
 Funds Requested: _____
 Service Area Population Number: _____

Preference Points: ☐ 2% ☐ 5% ☐ None

<u>CATEGORY</u>	<u>TOTAL POINTS POSSIBLE</u>
1. PROBLEM STATEMENT	<u>80</u>
2. PLAN AND IMPLEMENTATION	<u>280</u>
3. BUDGET	<u>70</u>
4. COMPREHENSIVE ASSESSMENT	<u>40</u>
TOTAL	<u>470</u>

Each of the above categories contain questions assigned a point value. The point scale is divided into five columns labeled **I, II, III, IV, and V**. The applicant's response to each question is evaluated on the following criteria:

- I. ABSENT:** The response does not address the specific question or a response was not provided.
- II. UNSATISFACTORY:** The response does not completely address the question. The information presented does not provide a good understanding of applicant's intent, does not give the detailed information requested by the RFP, and/or does not adequately support the proposal or the intent of the program.
- III. SATISFACTORY:** The response addresses the question and provides a good understanding of the applicant's intent. The response adequately supports the proposal and the intent of the program.
- IV. ABOVE AVERAGE:** The response is above average and provides a clear and detailed understanding of the applicant's intent. The response presents a persuasive argument that supports the proposal and the intent of the program.
- V. EXCELLENT:** The response is outstanding, with clear, detailed and relevant information. The response presents a compelling argument that supports the proposal and the intent of the program.

	I	II	III	IV	V
1. PROBLEM STATEMENT (Maximum 80 points)	0	4	8	12	16
a. How well did the applicant detail description of the service area to be served including size of the population and social factors?					
b. How well did the applicant detail it will implement the California VAWA Implementation Committee recommending for this program to have higher emphasis on domestic violence crimes?					
c. How well did the applicant use statistical information to describe the incidence of crimes of domestic violence, sexual assault, dating violence, and stalking which the project has chosen to address as a highest need and priority?					
d. How well did the applicant detail the current effort to supervise probationers of the domestic violence, sexual assault, dating violence, and stalking crimes the project has chosen to address as a highest need and priority, and current efforts to assist the victims?					
e. How well did the applicant detail the weaknesses of the current resources in combating the problem?					
2. PLAN AND IMPLEMENTATION (Maximum 280 points)	0	4	8	11	14
a. How well did the applicant describe the plan to affect the problem?					
b. How well did the applicant describe the training and qualifications of proposed staff?					
c. How well did the applicant describe what the project would consider "serious violent crime(s)" as it pertains to the crimes of domestic violence, sexual assault, dating violence, and stalking?					
d. How well did the applicant describe the criteria for cases to be assigned to the unit?					
e. How well did the applicant provide quantitative/number response to each mandatory objective?					
f. How well did the applicant detail how mandatory objective (a) will be met?					
g. How well did the applicant detail how mandatory objective (b) will be met?					
h. How well did the applicant detail how mandatory objective (c) will be met?					
i. How well did the applicant detail how mandatory objective (d) will be met?					
j. How well did the applicant detail how mandatory objective (e) will be met?					
k. How well did the applicant detail how mandatory objective (f) will be met?					

	I	II	III	IV	V
l. How well did the applicant detail how mandatory objective (g) will be met?					
m. How well did the applicant detail how mandatory objective (h) will be met?					
n. How well did the applicant detail how mandatory objective (i) will be met?					
o. How well did the applicant detail how mandatory objective (j) will be met?					
p. How well did the applicant detail its ability to implement and administer the grant?					
q. How well did the applicant detail the relationship between law enforcement agencies and local victim service agencies?					
r. How well does the applicant detail how the required policies will be implemented?					
s. How well did the applicant detail how the average monthly caseload was determined for non-unit probation officers and how the reduction was decided?					
t. How well did the applicant detail how unit staff will be selected and rotated in and out of the unit?					
3. BUDGET, including budget narrative (Maximum 70 points)	0	9	18	27	35
a. How well did the budget narrative support the mandatory objectives and activities; expenditures for staff's positions relating to the intent and requirements of the program; was the match included; and did it contain travel and per diem information to attend training for probation officer(s) and the mandatory Cal EMA Project Director's Meeting?					
b. How well did the funds allocated in the Budget Category Forms support the program as stated above on item (a); was the match included; and were there line items for travel and per diem to attend training for probation officer(s) and the mandatory Cal EMA Project Director's Meeting?					
4. COMPREHENSIVE ASSESSMENT (Maximum 40 points)	0	10	20	30	40
How well did the proposal support the overall intent of the program as illustrated in all of the components of Part I of the RFP, Section F., Program Information; how well did the proposal support the goals and objectives of the program?					

PROBATION SPECIALIZED SUPERVISION PROGRAM

SUMMARY OF THE PAST PERFORMANCE POLICY

The following is a summary of Cal EMA's Past Performance Policy. A complete copy may be obtained by sending a written request to the Director of Grants Management at:

California Emergency Management Agency
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: PROBATION SPECIALIZED SUPERVISION PROGRAM (PS), Children's Section
Fax: (916) 327-5674

1. General Policy

This policy is intended to penalize existing recipients having serious performance problems and will be utilized only in connection with the RFP process on the awarding of grants for new funding cycles. It was developed in consultation with Cal EMA's advisory groups.

2. Penalty Levels

Level A: Complete disqualification from RFP process.

Level B: 10% point reduction of total possible points from an applicant's score.

3. Standard for Invoking A Penalty

The standard for invoking either penalty is dependent upon the recipient's compliance with grant terms and conditions (excluding minor incident(s) of noncompliance).

a. Serious Performance Problems Eligible For Consideration

Performance problems which would qualify under this policy include, but are not limited to:

- 1) significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation;
- 2) violation(s) of material statutory requirements related to the grant;
- 3) a willful or grossly negligent violation of a Cal EMA policy, or Terms of the Program, but **only after** the recipient had been provided:
 - a) technical assistance by Cal EMA, including a site visit if necessary, to remedy the violation;
 - b) at least one written notice (per violation); and
 - c) a reasonable opportunity to remedy the violation.

Written notice of serious performance problems will be provided to the recipient's executive officer. Failure to remedy the violation may negatively impact the recipient's eligibility for future funding.

It is not necessary for a criminal conviction to have occurred for Cal EMA to consider actions appearing to constitute fraud, embezzlement, mishandling of funds or other types of statutory violations. Cal EMA must only have reliable evidence this conduct occurred. Moreover, only properly documented performance problems will be considered.

b. Factors Considered

In determining an appropriate penalty, factors to be considered include, but are not limited to:

- 1) the seriousness of the problem;
- 2) whether the problem identified was intentional;
- 3) whether the problem revealed dishonest behavior by the applicant;
- 4) whether the interests of the State or the public were harmed by the problem;
- 5) whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
- 6) whether the problem was documented objectively; and
- 7) whether Cal EMA attempted to assist the recipient in remedying the problem.

c. Specific Examples

Performance problems are considered on a case-by-case basis and take the totality of the circumstances into consideration. The following examples are not intended to be binding or restrictive of Cal EMA's authority to determine the appropriate penalty in a particular case:

- 1) Cal EMA conducts a visit of a project and makes the following findings:
 - a) the shelter failed to pay overtime on two occasions;
 - b) three timesheets did not contain a supervisor's approval; and
 - c) the project's doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP proposal.

A corrective action plan is developed and the recipient takes steps to address the findings. Communication with the recipient four months later shows the findings have been corrected.

Penalty: None

- 2) One year ago, an audit discovered that a project employee embezzled \$300 of Cal EMA funds. The audit concludes this occurred in part due to inadequate management controls and supervision by the project. The employee was fired and the case submitted to the district attorney's office for prosecution. The recipient has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the recipient are known.

Penalty: Level B

- 3) A project has agreed to provide victim advocacy services in County X. The recipient spends \$40,000 on non grant related expenses and does not provide the services. This is documented in the site visit report. The project's Progress Reports to Cal EMA report that the services are being provided. Cal EMA refers the matter to the district attorney for prosecution, but no additional steps have yet to be taken.

Penalty: Level A

4. Notification to the Applicant and Appeal of Decision

A letter will be sent by certified mail to the applicants that are denied funding due to past performance problem(s). The applicant shall be provided with a summary of why the performance problem penalty was invoked. The applicant is entitled to appeal the denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.

PROBATION SPECIALIZED SUPERVISION PROGRAM**GLOSSARY OF TERMS**

TERM	DEFINITION
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Recipient	The agency or organization designated on the Grant Award Face Sheet (Cal EMA 2-101) is the programmatic Recipient of the grant funds and will accomplish the planned objectives and program goals. The Recipient was formerly referred to as the "Grantee".
Application	Once selected for funding, the original proposal plus any additional forms as required by Cal EMA becomes the application. This application, once signed by Cal EMA and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement (Cal EMA 2-101).
CFR	Code of Federal Regulations
Community-based Organization (CBO)	A nonprofit, public benefit corporation.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. The objective of the EEOP is to ensure nondiscrimination in all areas of employment (recruitment, hiring, promotions, etc), and in the delivery of services and benefits.
Equal Employment Opportunity (EEO) Checklists	An EEO Checklist is a document used by program staff while conducting site/monitoring visits. The checklists (A and B) were prepared to assist Cal EMA in verifying that recipients are in compliance with State and Federal Civil Rights Laws.
Grant Award Agreement	The signed final agreement between Cal EMA and the local government agency or organization authorized to accept grant funding. (See Application.)
Grant Funding Cycle	The number of years a program may be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Cal EMA 2-101) (formerly OES A301).
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).

Monitoring Report Response Form	Form sent to the Recipient with the Monitoring report. The form is completed by the Recipient and returned to the Cal EMA Local Assistance Monitoring Branch (LAMB), indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring.
Noncompetitive Bid (NB)	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.)
Nonprofit Organization (aka Community-Based Organization)	<p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501(c) (3) for recipients of faith-based organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <ol style="list-style-type: none"> (1) Proof that the Internal Revenue Service recognizes the applicant has the status of a 501(c) (3). (2) A statement from a State taxing body or the State Secretary of State certifying that (i) the Organization is a nonprofit organization operating within the State; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual: (3) A certified copy of the applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the applicant; or (4) Any item described in (1) through (3) if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
On Site	Refers to the location of operation of the grant award recipient. If multiple sites exist, the site that provides the project recipients with program direction qualifies as the "on site location."
Operational Agreement (OA)	A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles that serve the same purpose.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Participating Staff	A salaried employee of a Participating Agency.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set

	appropriation from state or federal funding sources.
Project	The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to Cal EMA that specified the priorities, strategies, and objectives of the applicant.
Recipient Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Recipient Handbook</i> is accessible at www.CalEMA.ca.gov . Look on the right side of the Cal EMA homepage under 'Quick links' for the Criminal Justice Programs Recipient Handbook or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for " <i>Recipient Handbooks</i> ". The <i>Recipient Handbook</i> was previously called the <i>Grantee Handbook</i> .
Request for Application (RFA)	The RFA is a noncompetitive process issued by Cal EMA to obtain applications from applicants previously selected for funding.
Request for Proposal (RFP)	The RFP is issued by Cal EMA to solicit competitive proposals in order to select projects for funding.
Single Source	This term has been replaced by the term "noncompetitive bid".
Sole Source	This term has been replaced by the term "noncompetitive bid".
Source Documentation	Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement.
Supplanting	To reduce federal, state, or local funds because of the existence of Cal EMA funds. Supplanting occurs when a Recipient deliberately replaces its non-Cal EMA funds with Cal EMA funds, thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, Cal EMA policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.
USC	United States Code